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**TRANSMITTAL
FORM**

(to be used for all correspondence after initial filing)

Total Number Of Pages In This Submission

8 + 1
reference

Application Number

09/069,703

Filing Date

April 29, 1998

First Named Inventor

Gilles H. TAPOLSKY

Group Art Unit

1617

Examiner Name

E. Webman

Attorney Docket No.

359872000821

ENCLOSURES (check all that apply)☒ Fee Transmittal Form + duplicate for
fee processing - 2 pages☐ Fee Attached☐ Amendment / Reply☐ After Final☐ Affidavits/declarations☐ Extension of Time Request☐ Express Abandonment Request☒ Information Disclosure Statement -
3 pages☐ Certified Copy of Priority Document(s)☐ Response to Missing Parts/
Incomplete Application☐ Response to Missing Parts
under 37 CFR 1.52 or 1.53☐ Assignment Papers
(for an Application)☐ Drawing(s)☐ Licensing-related Papers☐ Petition☐ Petition to Convert to a
Provisional Application☐ Power of Attorney, Revocation
Change of Correspondence Address☐ Terminal Disclaimer☐ Request for Refund☐ CD, Number of CD(s) _____☐ After Allowance Communication to
Group☐ Appeal Communication to Board of
Appeals and Interferences☐ Appeal Communication to Group
(Appeal Notice, Brief, Reply Brief)☐ Proprietary Information☐ Status Letter☒ Other Enclosure(s) (please identify
below):

1. Form PTO-1449 + copy - 2 pages
2. 1 Reference
3. Return Receipt

Remarks

SIGNATURE OF APPLICANT, ATTORNEY OR AGENTFirm
or

Morrison & Foerster LLP, 755 Page Mill Road, Palo Alto, CA 94304-1018

Individual Name

Lisa A. Amii (Reg. No. P 48,199)

Signature

Date

June 22, 2001

CERTIFICATE OF MAILING BY "FIRST CLASS MAIL"

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Assistant Commissioner for Patents, Washington, D.C. 20231, on June 22, 2001.

Aurelia A. Caparas

Burden Hours Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Box Patent Application, Washington, DC 20231.



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Assistant Commissioner for Patents, Washington, D.C. 20231, on June 22, 2001.

Aurelia A. Caparas
Aurelia A. Caparas

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In the application of:

Gilles H. TAPOLSKY and
David W. OSBORNE

Serial No.: 09/069,703

Filing Date: April 29, 1998

For: PHARMACEUTICAL CARRIER
DEVICE SUITABLE FOR DELIVERY
OF PHARMACEUTICAL
COMPOUNDS TO MUCOSAL
SURFACES

Examiner: E. Webman

Group Art Unit: 1617

INFORMATION DISCLOSURE
STATEMENT UNDER 37 C.F.R. § 1.97 AND § 1.98

Assistant Commissioner for Patents
Washington, D.C. 20231

Dear Sir:

Pursuant to 37 C.F.R. § 1.97 and § 1.98, Applicants submit for consideration in the above-identified application the document listed on the attached Form PTO-1449. Copy of the document is also submitted herewith. The Examiner is requested to make this document of record.

This Information Disclosure Statement is submitted:

- ☐ With the application; accordingly, no fee or separate requirements are required.
- ☐ Within three months of the application filing date or before mailing of a first Office Action on the merits; accordingly, no fee or separate requirements are required.
- ☒ After receipt of a first Office Action on the merits but before mailing of a final Office Action or Notice of Allowance.
 - ☐ A fee is required. A check in the amount of * is enclosed.
 - ☒ A fee is required. Accordingly, a Fee Transmittal form (PTO/SB/17) is attached to this submission in duplicate.
 - ☐ A Certification under 37 C.F.R. § 1.97(e) is provided below; accordingly, no fee is believed to be due.
- ☐ After mailing of a final Office Action or Notice of Allowance, but before payment of the issue fee. Accordingly, a Petition requesting consideration of the Information Disclosure Statement, an authorization to charge our deposit account, and a Certification under 37 C.F.R. § 1.97(e) are provided herein.

Applicants would appreciate the Examiner initialing and returning the Form PTO-1449, indicating that the information has been considered and made of record herein.

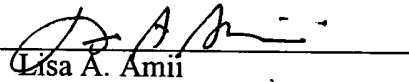
The information contained in this Information Disclosure Statement under 37 C.F.R. § 1.97 is to the best of my knowledge and is not to be construed as a representation that: (i) a complete search has been made; (ii) additional information material to the examination of this application does not exist; (iii) the information, protocols, results and the like reported by third parties are accurate or enabling; or (iv) the above information constitutes prior art to the subject invention.

In the unlikely event that the transmittal letter is separated from this document and the Patent Office determines that an extension and/or other relief is required, applicants petition for any required relief including extensions of time and authorizes the Assistant Commissioner to charge the cost of such petitions and/or other fees due in connection with the filing of this document to **Deposit Account No. 03-1952** referencing 359872000821. However, the Assistant Commissioner is not authorized to charge the cost of the issue fee to the Deposit Account.

Dated: June 22, 2001

Respectfully submitted,

By: _____


Lisa A. Amii

Registration No. P 48,199

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Form PTO-1449

Docket Number 359872000821

Application Number 09/069,703

**INFORMATION DISCLOSURE CITATION
IN AN APPLICATION**

JUN 29 2001 (Use several sheets if necessary)

Applicant

Gilles H. TAPOLSKY and David W. OSBORNE

Filing Date April 29, 1998

Group Art Unit 1

Mailing Date June 22, 2001

COPY

U.S. PATENT DOCUMENTS

Examiner Initials	Ref. No.	Date	Document No.	Name	Class	Subclass	Filing Date If Appropriate
	1.	12/23/1997	5,700,478	Biegajski et al.			

FOREIGN PATENT DOCUMENTS

Examiner Initials	Ref. No.	Date	Document No.	Country	Class	Subclass	Translation YES NO

OTHER DOCUMENTS

(including author, title, Date, Pertinent Pages, Etc.)

Examiner Initials	Ref. No.	Title

EXAMINER:

DATE CONSIDERED:

EXAMINER: Initial if citation considered, whether or not the citation conforms with MPEP 609. Draw a line through the citation if not in conformance and not considered. Include a copy of this form with next communication to applicant.